

11/13/01

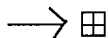


JC971 U.S. PTO

12-10-01

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Please type a plus sign (+) inside this box

Modified PTO/SB/05 (03-01)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	Verizon-17
First Inventor	Baoqing YE
Title	ANTI-FLOODING FLOW-CONTROL METHODS AND APPARATUS
Express Mail Label No.	EL872560222US

**APPLICATION ELEMENTS**See *MPEP* chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **43**]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **6**]
5. Oath or Declaration w/Power of Attorney [Total Pages **2**]
Newly executed (original or copy)
a. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
b. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____

Prior application information

Examiner _____

Group Art Unit. _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) **26479** or ☐ Correspondence address below

Name	Straub & Pokotylo				
Address	1 Bethany Road Suite 83, Bldg. 6				
City	Hazlet	State	N.J.	Zip Code	07730
Country	USA	Telephone	(732) 335-1222	Fax	(732) 335-1228

Name (Print/Type)	Loren Swingle	Registration No. (Attorney/Agent)	32,764	
Signature	Loren Swingle by Michael Straub Reg No. 36,941		Date	November 13, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

Application Number	Not yet assigned
Filing Date	Herewith
First Named Inventor	Baoqing YE
Examiner Name	Not yet assigned
Group Art Unit	Not yet assigned
Attorney Docket No.	Verizon-17

TOTAL AMOUNT OF PAYMENT (\$) 798.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to.

Deposit
Account
Number

50-1049

Deposit
Account
Name

Straub & Pokotylo

☒ Charge any deficiency or credit any overpayment

☐ Applicant claims small entity status
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description
101	740	201	370	Utility filing fee
106	330	206	165	Design filing fee
107	510	207	255	Plant filing fee
108	740	208	370	Reissue filing fee
114	160	214	80	Provisional filing fee

Fee Paid

740.00

SUBTOTAL (1) (\$) 740.00

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	21	-20** = 1	X 18.00 = 18.00
Independent Claims	3	-3** =	X 84.00 = 00.00
Multiple Dependent			

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 18.00

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130 205 65	Surcharge - late filing fee or oath	
127	50 227 25	Surcharge - late provisional filing fee or cover sheet	
139	130 139 130	Non-English specification	
147	2,520 147 2,520	For filing a request for <i>ex parte</i> reexamination	
112	920* 112 920*	Requesting publication of SIR prior to Examiner action	
113	1,840* 113 1,840*	Requesting publication of SIR after Examiner action	
115	110 215 55	Extension for reply within first month	
116	400 216 200	Extension for reply within second month	
117	920 217 460	Extension for reply within third month	
118	1,440 218 720	Extension for reply within fourth month	
128	1,960 228 980	Extension for reply within fifth month	
119	320 219 160	Notice of Appeal	
120	320 220 160	Filing a brief in support of an appeal	
121	280 221 140	Request for oral hearing	
138	1,510 138 1,510	Petition to institute a public use proceeding	
140	110 240 55	Petition to revive - unavoidable	
141	1,280 241 640	Petition to revive - unintentional	
142	1,280 242 640	Utility issue fee (or reissue)	
143	460 243 230	Design issue fee	
144	620 244 310	Plant issue fee	
122	130 122 130	Petitions to the Commissioner	
123	50 123 50	Processing fee under 37 CFR 1.17(q)	
126	180 126 180	Submission of Information Disclosure	
581	40 581 40	Recording each patent assignment per property (times number of properties)	40.00
146	740 246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740 249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740 279 370	Request for Continued Examination (RCE)	
169	900 169 900	Request for expedited examination of a design application	
Other fee (specify) _____			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40.00

SUBMITTED BY

Name (Print/Type)	Michael P. Straub	Registration No. (Attorney/Agent)	36,941	Telephone	(732) 335-1222
Signature	Michael P. Straub	Date	November 13, 2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Attorney Docket No.: **Verizon-17**

Applicant: **Baoqing YE**

Serial No.: **Not yet assigned**

Filing Date: **Herewith**

Title: **ANTI-FLOODING FLOW-CONTROL METHODS AND APPARATUS**

Examiner: **Not yet assigned**

Group Art Unit: **Not yet assigned**

ASSISTANT COMMISSIONER FOR PATENTS
Box **Patent Application**
Washington, D.C. 20231

S I R:

NON-PUBLICATION REQUEST UNDER 37 C.F.R. § 1.213

The applicant requests that the application not be published under 35 U.S.C. § 1.122(b).

The undersigned certifies that the invention disclosed in the application has not been and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

The applicant preserves the right to file an application directed to the disclosed invention in another

country, or under a multilateral international agreement as permitted by 37 C.F.R. § 1.213(c).

Respectfully submitted,

Loren Swingle
by Michael P. Straub
Reg. No. 36,941
Loren Swingle, Attorney
Reg. No. 32,764
(914) 644-2366

STRAUB & POKOTYLO
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Suite 83, Bldg. 6
Hazlet, NJ 07730

EXPRESS MAIL CERTIFICATION

"Express Mail" mailing label number: EL872560222US
Date of deposit: November 13, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, **Box Patent Application**, Washington, D.C. 20231.

Michael P. Straub

Michael P. Straub
36,941
Reg. No.